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Non-Tax Sources of Revenue for Public Libraries

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ALA Survey Report

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EXECUTIVE SUMMARY

Background

In September 1987, questionnaires were mailed to a random sample of public libraries asking for information about three potential sources of non-tax revenue: charges for services and materials; fines, contracts, and sales; fundraising and financial development. The ALA Office for Research conducted the survey with financial support from The H. W. Wilson Foundation and advice from an advisory committee of ALA members. Mailing and processing were done by the Library Research Center at the University of Illinois' Graduate School of Library and Information Science. The sample included public libraries serving all sizes of population and from all geographic regions. Of the 869 questionnaires mailed out, 619 useable returns were received—a useable response rate of over 71%.

Results

User Charges:

The questionnaire listed 18 possible "services and materials in your library for which money is collected from users" and asked the respondent: "Is this service offered by the library?, Is any money collected from users?

- Some libraries collect money from users for each of the services and materials mentioned.

- Only 5% of the libraries offering "Art (sculpture, etc)" charged for it, but 95% charged for "Photocopies" and 82.4% charged for "Microform prints."

- The percentage of libraries charging for all other services listed ranged from 11.4% for "Specialized reference service" to 40% for "Video player and/or recorder."

- Over 49% of the respondents reported no revenue from user charges and over 94% reported that less than 5% of their operating expenditures came from that source.

The questionnaire asked five questions about database searching. Over 19% of all public libraries answered "Yes" to the question: "Do you offer online database searching?" Only 9% offered it in libraries serving less than 10,000 but almost 69% did so in libraries serving over 500,000. Over 56% of those who offer searching, answered "Yes" to the question "Is there ever any charge to users." Of those who offer and charge, almost 90% responded "Yes" to the question "Do some or all users receive any online searching free?" Limitations on free searching are set by one or more factors such as online charges or time spent online.

Fines, Contracts, and Sales:

Some respondents reported retaining money from each of 15 possible categories. The three categories reported by the highest percentage of respondents were "Fines" (54.9%), "Replacement of lost or damaged materials" (44.3%), and "Sale of books" (43.6%). In all categories, the percentage of respondents indicating that monies are *collected* was higher than the percentage reporting that monies were *retained* by the library. Only 17% of the respondents reported no revenue from this source and 87.3% indicated that less than 5% of operating expenditures came from fines, contracts, and sales.

Fundraising and Financial Development:

Some respondents reported receiving some income from each of ten possible sources. The least likely source is "United Way or other annual community campaign" (4.8%) and the most likely sources are "Individuals" (51.7%) or "Friends groups" (33.8%). Only 14.9% reported no income from this source and 57.9% reported less than 5% of their operating expenditures from fundraising and financial development.

Total from Non-tax Sources:

Only 2.7% of the respondents reported no revenue from any non-tax sources. 64.2% reported non-tax revenues equal to 5% or more of operating expenditure, but only 22.6% reported non-tax revenues equal to 20% or more of operating expenditures. Over 9% of the libraries—all serving populations of less than 100,000—reported that over 50% of operating expenditures came from non-tax dollars.

I. INTRODUCTION

Background

This survey was inspired by several developments in the library community during the early 1980's. In the Spring of 1985, the National Commission on Libraries and Information Science (NCLIS) published a report on "The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries." The report, partially funded by the Council on Library Resources, was a summary of the arguments for and against fees and a review of the few existing studies which documented the extent of fee charging in libraries. One of the several recommendations of the NCLIS report was that more data be gathered on "who is charging fees and for what services."[1]

In response to that report, the ALA Office for Research (OFR), with advice from the ALA Committee on Research, drafted a proposal to gather data on fees in public libraries. When the draft proposal was discussed with several experts at ALA's 1986 Midwinter Meeting, it became clear that a broader study would be more useful to the library community and interested others. The proposal was revised, therefore, so that the focus of data collection was on *all* sources of income other than tax dollars, not just on fees.

ALA's interest in collecting data on fees goes back to the late 1970's when the charging of fees became a major issue in the profession. In response to that concern, ALA President Clara Jones appointed an Ad Hoc Task Force on Equal Access to Information in 1979. That Task Force presented a proposal to the ALA Executive Board for a comprehensive study of all types of fees in libraries and the effect of those fees on access to information. When asked by the Board to advise on the feasibility of such a study, the ALA Committee on Research suggested that instead of pursuing funds to conduct such an extensive project, ALA seek funding immediately to investigate the financing of online search services—at that time, the most controversial type of fee—and that ALA continue to conduct studies of the fee question. OFR did conduct the study of online search services, with partial support from the Council on Library Resources and in-kind assistance from three online vendors.[2] The resulting publication was cited in the report of the NCLIS fees study as one of the few sources of useful data on the topic.

ALA has not done additional studies of this topic in the interim, except for an unpublished study prepared for the Chief Officers of State Library Agencies (COSLA) by Sandra M. Cooper and William O. Drewett III of ALA's Association of Specialized and Cooperative Library Agencies. The report of that study describes what state laws exist regarding fee charging and what state agencies know about fees charged by public libraries in their respective states.[3] The COSLA study is useful as background on fee charging, but it does not provide detailed information on what is happening in public libraries. One of the objectives of the study reported here was to do that.

This study examines user fees as one in a whole array of non-tax sources from which a public library might derive revenue. Interest in that broad array has developed quite recently in the public library community, partly as the result of changes in the thinking of public administrators and economists regarding the financing of all governmental services. Many public librarians and trustees are now under pressure to find ways of supporting library services from sources other than tax dollars. In response to that need, ALA's Library Administration and Management Association (LAMA) recently established a new subunit, the Fundraising & Financial Development Section, that enables members

to share expertise and develop programs on this topic. The Public Library Association (PLA) and the American Library Trustees Association (ALTA) have also responded by establishing the Public Library Trusteeship—a mutual fund that enables public libraries to pool their investable resources and thus receive increased yield.

All of these developments indicated that facts were needed on what non-tax sources are being tapped by public libraries, on the amount of revenue received from them, and on the significance of this revenue in the total picture of public library finance.

This broad topic had not been studied before in any detail, but interesting clues were available from reports of public library surveys conducted by the National Center for Educational Statistics (NCES) in 1974, 1978, and 1982.[4] Those reports show that public library receipts from non-tax sources constituted 10.2 percent of all public library revenues nationwide in 1974, 10.6 percent in 1978, and 9.3 percent in 1982, the most recent national survey. The present survey did not attempt to update that figure. Instead it gathered data on the types of non-tax revenue in public libraries of various sizes and on the role this revenue plays in the income and operating expenditures of those libraries.

Questionnaire and Sample

The three-part questionnaire was designed and pretested in the Spring of 1987 (See Appendix 2). Part I, "Charges for Selected Services and Materials", sought information about services and materials "for which money is collected from users." Respondents were told: "Include fees of any type, suggested donations, rentals, etc. DO NOT include deposits which are eventually returned." Part II sought information about "Sources of Revenue Other Than Charges for Selected Services and Materials." This included both "Receipts from Fines, Contracts, and Sales" and "Receipts from Fundraising and Financial Development". Part III of the questionnaire asked for summary information about the library's total income and operating expenditures in the most recently completed fiscal year.

The questionnaire was sent to a stratified random sample of public libraries. Strata were four regions of the country—North Atlantic, Southeast, Great Lakes and Plains, West and Southwest (see Appendix 3)—and five ranges of population served: 1-9,999; 10,000-24,999; 25,000-99,999; 100,000-499,999; 500,000 and above. Libraries were selected from a tape leased from Market Data Retrieval—a company that provides mailing lists for the educational marketplace. Of the 869 questionnaires mailed out, 619 useable returns were received—a useable response rate of seventy-one percent. Returns were proportionately distributed over all strata of the sample.

Report

This introduction is followed by Chapter II which comments on results displayed in the tables that appear on pages 14-28 and the figures that appear on pages 29-30. Chapter III contains conclusions and is followed references cited in the text. An annotated bibliography by Emily Melton describes additional works on this topic.

II. RESULTS

Charges for Selected Services and Materials

The questionnaire began with a list of eighteen services or materials for which some libraries were known to collect money from users. We did not list all possible library services. Instead we looked at other surveys and selected services that seemed most likely to involve charges. Table 1 shows the percentage of respondents offering each service in each of five ranges of population served and for the nation as a whole. Column six of this table shows, for example, that the service most likely to be offered by libraries nationwide is "photocopies"—offered by 84.2 percent. This is true in every population range except the lowest where the most frequently offered service is "reserves for books"—offered by 76.2 percent. In libraries serving from 100,000 to 499,999 (column 4), the same percentage of respondents offer "interlibrary loan" of both "monographs" and "journal articles" as offer "photocopies"—93.3 percent.

A comparison of column 1 with column 5 reveals that most of the services and materials are more likely to be available in a library serving over 500,000 than in one serving less than 10,000 although this is not true for "audio player and/or recorder," "slide projector," or "film projector." In those three cases, the highest percentage of respondent offering is in the 25,000-99,999 population range—the third column. Note that responses are not reported for the first item in the list of services and materials—rental book collection. Comments added to the returns convinced us that there was some confusion about this item. Some respondents thought we were asking if the library rented books (e.g., McNaughton Plan) and other respondents thought we were asking if the library charged a rental fee to users. The latter was what we meant, but that meaning was not clear to respondents. Therefore no results are reported on any of the tables.

Table 2 shows the percentage of respondents offering these same services and materials in each of four geograpic regions. (See Appendix 3 for states in each region). This is the only table in the report that displays results by region. Although it is interesting to speculate on the reasons for regional differences, it is hard to come to any conclusions without knowing more about differences from state to state. It is hoped that individual states will replicate the survey and interpret results in terms of laws, regulations, and practices common to libraries in the state.

Table 3 shows the percentage of respondents offering a service that collect money from users for that service. It is important to note that the individual percentages in the table are based on the number of libraries offering the service, not on the number of respondents in a particular population served category. To get a true picture of what is happening, it is necessary to use table 1 and table 3 together. For example, table 1 shows that 51.2 percent of public libraries serving populations of 9,999 or less offer video cassettes. Table 3 shows that 25 percent of those who offer video cassettes, charge for them. Using the same two tables, one observes that 91.1 percent of libraries serving 500,000 or more offer video cassettes and 24.4 percent of those who offer them, charge users.

Table 3 shows that some libraries charge for every service we listed. To get a summary of user charges nationwide, look at the 6th and last column in table 3. The service least likely to be charged for is row 5 (Art, sculpture, etc). The two services most likely to be charged for are row 14, photocopies (95%) and row 13, microfilm prints (82.4%). If you ignore those extreme highs and lows,

the percentage of respondents charging for a service ranges from a low of 11.4% for "specialized reference service" (row 18) to a high of 40% for "video player and/or recorder" (row 6).

Several caveats should be made about the results displayed on table 3. Numerous respondents wrote comments on the questionnaire to explain that, in several cases, any money collected for a service was used to maintain the service (e.g., to keep the computer and related peripheral in working order, to pay for printer paper and ribbons, etc). Comments were especially numerous on interlibrary loan (items 2a and 2b). Many told us that they charged only when the lending library charged or that they charged only for postage. We counted the answer as "yes" if there was any indication that money was ever collected from any users.

Table 4 shows the percentage of respondents charging for a service that responded "Yes" to the question "Do you waive charges for those unable to pay?" Note that charges are most likely to be waived for interlibrary loan of monographs (24.2 percent), never waived for "microcomputers to borrow," and least likely to be waived for "video player and/or recorder." A number of respondents added comments in the area of the questionnaire such as: "Never came up" or "No one has asked." These comments indicate that table 4 may not be a good indicator of what a library would do upon request. Because the percentages were so small, we did not display them by population served.

The fourth question in this section, "Do charges vary by characteristics of person (e.g. residency, age)?" was ignored by many respondents. We did not investigate this matter, but believe that this nonresponse was probably due to the sequence of questions which implied that if one answered NO to question three, there was no need to answer question four.

A separate section of the questionnaire asked about Database Searching. We separated database searching from the other services because we were reasonably sure that many public libraries both charged for it and offered it free. Results proved we were right.

Table 5 and figure 1 show those results. The first row of table 5 and the first group of bars on figure 1 show the percentage of respondents that offer online searching. Clearly, the larger the population served by a library, the more likely it is that searching will be offered. The second row of table 5 and the second group of bars on figure 1 show respondents that offer and charge. It is evident that the likelihood of changing varies somewhat, but charging occurs in 56.3 percent of responding libraries that offer searching. The third row on table 5 and the third group of bars on figure 1 show respondents that offer and charge and do some free searching. Obviously this is very common in public libraries that change for searching. It occurs in 89.6% of all responding libraries that search and in over 90% of those that search in communities of between 10,000 and 100,000 (the second and third bars). This finding is very important in light of the current concern that fees limit access to information. (It is interesting to note that the state attorney general of Maryland recently ruled that public libraries charging for online searching must give the first ten minutes free[5]).

Limitations on that free service involve online charges in 40 percent of the libraries, offline print charges in 23.9 percent, time spent online in 44.8 percent and other factors in 23.9 percent. Fee schedules received from respondents to this and other studies indicate that formulas vary. For example, one library may offer the first ten minutes free, another the first ten dollars, another a combination of time and amount.

The last row and last group of bars are not very meaningful. Although fewer than twenty percent of all libraries that charge indicated that they waive all fees for those unable to pay, the number willing to do so may actually be higher as several respondents wrote notes to explain that the matter never came up. This question deserves more attention than we were able to give in this survey.

In addition to answering our questions about specific services, respondents were asked to "list any additional materials or services for which monies are collected?" Ninety-eight of the 619 respon-

dents wrote something in this space. These comments were useful primarily for interpreting unclear responses in other parts of the questionnaire. However, several unusual ideas were suggested, such as: sell popcorn, charge for notary service, proctor exams for off-campus students of a nearby university, charge for use of a darkroom, install public pay telephones.

The section on user charges asked the respondent for three dollar figures:

- Total amount of money collected in the last fiscal year.
- Amount from photocopiers.
- Amount from videocassettes.

Answers are summarized on tables 6 through 9. Table 6 shows the percentage of respondents collecting various amounts from users and table 7 uses the same ranges to show the percentage of respondents where money was actually retained by the library. Many respondents added notes to tell us that money collected from users never went into the library account either because it was "passed through" to some other agency (e.g. the lending library, the video cooperative) or because local regulations mandate that fees be given to funding authorities.

Tables 6 and 7 provide data to answer the question, "How many libraries charge fees?" Table 6 shows that 39.1 percent of the respondents did not report any dollars collected from user charges, which would mean that 60.9 percent did report something. Table 7 presents a somewhat different view. Respondents reporting no dollars retained from user charges were 49.6 percent of the total. Therefore only 50.4 percent retained dollars from user charges.

The figures in the last column on table 7 were used to create the first stacked bar on figure 2 which is a graphic summary of the amount of money collected from each of three types of non-tax revenue. This figure makes it clear the number of libraries reporting no income from user charges is higher than the number reporting no income from either of the other two sources. Also, the number of respondents reporting more than $25,000 from this source is lower than the percentage reporting more than $25,000 from either of the other two.

Results shown on table 6 and 7 are different from what has been reported in Jody Phelan's 1985 doctoral dissertation, which surveyed a sample of public libraries serving a population of from 50,000 to 200,000, found that more than ninety percent reported at least one service with a fee.[6] When one looks at the "nothing reported" row on table 6 for the two population groups closest to Phelan's, her estimate is considerably higher. The draft manuscript of a report on the "Adult Service in the Eighties" project also shows that most public libraries serving populations of 25,000 or more charge for at least some services.[7] It seems likely that differences in these results are due primarily to the fact that our survey asked for a dollar figure whereas neither of the others did. Since we know that some libraries reported charging for something but could not give us the amount collected or retained, we can understand how both of the other studies might get a higher figure. These discrepancies illustrate the difficulty of coming to firm conclusions on the matter of user charges.

Table 8 shows money collected for photocopies in ranges of amounts. Results on the matter of photocopiers are not clear, partly because of confusion in the questionnaire and partly because of the variety of ways in which libraries provide this service. On the questionnaire, photocopiers appear in two places—as one of the services for which users might be charged and as the major example of "contracts for sales or services where the library receives a portion of the revenue." In retrospect, this inconsistency seems obvious, but it was not obvious to the Principal Investigator, the Advisory Committee, or the librarians who pretested the questionnaire!

It may have slipped by us because we were all aware of what became clear as comments on returns were studied and follow-up calls were made—that librarians provide photocopying in different ways. In some cases, the library owns or leases the machine and collects the money. In other cases, a con-

tractor owns the machine, collects the money, and pays the library either in cash or in free copies or both. In still other cases, a Friends group owns the machine, collects the money, and gives it to the library either in cash or in gifts. There are other patterns also and sometimes a mixture of patterns in a single library. In sum, it is not possible to know for sure what financial arrangement may exist regarding photocopiers in any library.

We did not uncover a similar variety on the matter of videocassette loans. Table 9 shows the percentage of respondents collecting various amounts of money from that source. The last column shows that over forty-three percent of respondents charging for videocassettes collect less than $100. By cumulating the figures, we can observe that over fifty-seven percent collect less than $1,000 and close to eighty percent, less than $5,000. Only 4.4 percent collected $50,000 or more and most of these served populations of 500,000 or more.

Table 10 and figure 3 show total income received from charges for services and materials as a percentage of the library's operating expenditure during the most recently completed fiscal year. The figures in the last column on table 10 were used to create the first stacked bar on figure 3 which shows revenue from each of the three types of non-tax sources as a percent of operating expenditure. Figure 3 shows that income from user charges plays no part in operating expenditures in more libraries than either of the other two sources. Also, a smaller percentage of respondents get five percent or more of operating expenditure from this source.

Receipts from Fines, Contracts, and Sales

Response to the questions asked about receipts from fines, contracts, and sales are displayed on Tables 11-15. Table 11 shows the percentage of libraries in each population range *collecting* something from each of fifteen sources and table 12 reports the percentage *retaining* dollars from each source. Table 12 shows that dollars were retained by the highest percentage of respondents for "Fines" (54.9%), "Replacement of lost or damaged materials" (44.3%), and "Sales of books" (43.6%).

The questionnaire listed only twelve sources, but initial returns convinced us to add three more. Some libraries could not separate fine receipts from receipts from replacement of lost or damaged materials or replacement of lost cards. Those three were combined in category 13. A few libraries combined one or more of the twelve original categories. Category 14 was created for those case. Finally, some libraries were unable to separate fines of various types from one or more types of user charges. The number of libraries nationwide falling into these three categories is one indication of the difficulties that would be faced in finding out exactly how much money is raised from any one of these sources. Evidently, accounting procedures in many libraries could not respond to a request for such figures.

For each of the categories, the respondent was asked to give two figures "Amount collected" and amount "Retained for library use." Table 11 shows the percentage *collecting* in each category and table 12 shows the percentage *retaining* funds for library use. In all cases, the percentage is lower on table 12 than on table 11 indicating that a number of libraries collect money, but do not keep it. As noted earlier for user charges, some libraries added comments to explain that state or local laws or regulations required that all such monies be turned over to governmental authorities.

One aspect of this type of non-tax revenue needs a special note of explanation. Introductory instructions told the respondent: "DO NOT include monies received, directly or indirectly, from any governmental unit." This instruction was reinforced in category four which asks about "Contracts for general or specific service funded by non-governmental monies." The Advisory Committee and Principal Investigator gave considerable thought to this matter because we knew that many libraries get revenue from other libraries or governmental agencies for services rendered. Is this non-tax revenue or not? From the perspective of the receiving library it is, since the funds are separate from that li-

brary's tax source. However, the paying agency is using tax funds to pay for the service. Therefore it cannot be considered "non-tax." This distinction was not clear to some respondents who added comments about the revenue received through contracts with other libraries. Also, several prominent practitioners have questioned the wisdom of our decision. It may be that we were wrong and such revenue should be considered non-tax. However, for the purposes of this questionnaire, it was not.

Table 13 shows the amount of money *collected* from these sources during the most recent fiscal year in several dollar ranges. Table 14 shows the amount of money *retained* in each of the same dollar ranges. Percentages from the last column of this table were used to create the second stacked bar on figure 2. Adding the four lower boxes in the stack and you have over fifty percent of the respondents getting less than $1,000 from this category. Adding another three boxes and you get to over eighty percent getting less than $10,000. Table 15 shows the amount of revenue from fines, contracts and sales as a percent of the library's operating expenditures in the most recent fiscal year. The last column on Table 15 was used to create the second bar on figure 3. Adding together the four lower boxes in the bar and you get to over seventy percent of respondents with less than three percent of operating expenditures from fines, contracts and sales. The top box shows, however, that over twelve percent got five percent or more from this source.

Receipts from Fundraising and Financial Development

The questionnaire asked about receipts from fundraising and financial development in nine categories. A tenth category was added to cover various combinations of the original nine. Table 16 displays the percentage of libraries in each population range receiving income from each source. It shows that at least some libraries in each population range received some money from each of the sources listed.

The source mentioned by the highest percentage of respondents in all population ranges was "Individuals." This finding reinforces the results of a survey by the Alternative Resource Development Committee (ARDC) of the Library Administration and Management Association. The ARDC survey covered both academic and public libraries and did not report results for each type separately. Nevertheless, most of the 1,110 respondents cited "gifts from individuals as the major source of outside income." Individuals provided over "ninety percent of the gift income for the largest number of respondents."[8] Table 16 shows that the second highest was "Friends groups." This finding is consistent with results of a 1986 survey by Friends of Libraries USA (FOLUSA) which found that, in 1985, nearly 600,000 citizens raised a total of $27.2 million in support of their libraries.[9]

Table 17 shows the percentage of respondents receiving various ranges of amounts from all 10 sources in each population range. Percentages in this table for all respondents were used to create the third bar on figure 2. The third bar shows that the smallest percentage of respondents reported nothing in this category and the largest percentage (over 20%) reported over $25,000. Because the over $25,000 section was so large for this bar and for the All Non-tax Sources bar, figure 2A was created to show the components. The first bar on 2A shows that over ninety percent of the respondents get less than $100,000 from fundraising and financial development. Only a very small percent (2%) collect more than $500,000.

Table 18 shows the percentage of operating expenditure received from these sources in each population range. The last column on table 18 was used to create the third stacked bar on figure 3. This bar begins with fourteen percent of the respondents reporting no percent of operating expenditure from this source. It is necessary to add four more boxes before reaching fifty percent of the libraries who get less than five percent. More than forty percent get five percent or more. Because this is such a large percentage of respondents, figure 3A was created to show it in more detail. Figure 3A shows that more than fourteen percent get between five and ten percent of operating expenditure

from this source, almost ten percent get between ten and twenty percent and almost another ten percent get between twenty and forty percent. Over eight percent get fifty percent or more of operating expenditure from fundraising and financial development.

One of these sources was of particular interest to the Advisory Committee—the library foundation. Therefore, we not only listed it as a possibility, but also asked two additional questions:

- Does your library have a library foundation (i.e. monies or investments held separately from library funds)?

- If yes, please indicate the total assets held in the foundation at the end of the last fiscal year.

Discrepancies among the three questions about this topic necessitated follow-up calls. The first few calls revealed that the questionnaire had not been clear about what was meant by "library foundation." After talking with several experts, we developed the following definition to use in telephone conversations with respondents:

> a "library foundation" is a separately incorporated entity created to receive funds to be used for library purposes. It has a board of directors SEPARATE from the library board.

Table 19 shows current assets in library foundations in ranges of dollar amounts.

Summary: Receipts from all Non-tax Sources

The questionnaire ended with two general questions about the library's finances:

- What was the library's total income in the most recently completed fiscal year?
- What were the library's total operating expenditures in the most recently completed fiscal year?

Answers to the second question were used in many of the tables already described to show how revenue from each type of non-tax source fits into a library's total financial picture. At one point in the planning of this survey, we considered whether just income or just operating expenditures or both should be used to paint that picture. We decided to ask for both and analyze non-tax revenue in terms of both. Since results were very similar, we decided to use only operating expenditures in this report.

The last two tables in the report and figure 4 are concerned with revenue from all non-tax sources. To put those tables in context, table 20 shows total operating expenditure in various dollar ranges. The figures on table 20 can be used to summarize how the financial situation varies in libraries of various sizes. For example, cumulating the first 4 rows in each column on table 20 one arrives at the following percentages of respondents with operating expenditures of less than $50,000:

Population served	% below $50,000
1,000-9,999	72.9
10,000-24,999	18.2
24,999-99,999	.5
100,000-499,999	9.9
500,000+	0.0

Table 21 presents, for eleven dollar ranges, the amount retained for library use from all non-tax sources. The last column on table 21 was used to create the last bar on figures 2 and 2A. The last

bar on figure 2 shows that only a tiny percentage of respondents report no income from non-tax sources and over twenty-seven percent get over $25,000 from these sources. Figure 2A shows that about sixteen percent of the respondents get between $25,00 and $100,000, bringing us to over eighty-nine percent of the libraries. Only a little more than three percent get over $500,000.

Table 22 presents, for nine ranges of percentages, the amount retained for library use from all non-tax sources as a percent of total operating expenditures. The "Total" column on table 22 was used to create the summary bar on figure 3 and 3A. The last bar on figure 3A shows that over fifty percent of respondents got less than ten percent of operating expenditures from non-tax sources and less than ten percent get over fifty percent of operating expenditures from those sources.

Table 22 was also used to create figure 4 which shows total non-tax revenue as a percentage of operating expenditures by size of population served. Figure 4 shows, for example, that none of the libraries in the two largest populations served ranges get fifty percent or more of operating expenditures from non-tax sources. In fact, the bars do not even show respondents in the thirty to fifty percent category. For the three smaller population ranges, the percentage of respondents getting fifty percent or more from non-tax sources increases as the size of population served decreases. The same is true for the percentage getting between thirty and fifty percent. During the course of this study we interviewed staff or trustees of several of these libraries. Some get very little tax revenue and live primarily on fines and gifts, some are legally incorporated as private libraries. Both of these phenomena deserve more study.

III. CONCLUSIONS

This survey gathered a wealth of information about an aspect of public library management that was virtually unexplored until now. Although it was known that non-tax sources provided around ten percent of library income nationwide, it was not known what types of sources were part of the non-tax total or what part each source played in public library finance. These results provide much of what was missing and also raise questions for additional research.

This survey was conducted not to prove or disprove any particular hypothesis, but simply to describe an important aspect of public library finance. The Principal Investigator and Advisory Committee believe that many conclusions might be drawn from this report, depending on the particular interest of each reader. However, several general conclusions seem important to us:

1. Although many public libraries are collecting money from users for some services, the amount of revenue derived from this source is quite small.

2. The percentage of income/operating expenditures derived from non-tax sources varies according to size of library (i.e. population served).

3. Libraries often collect money that they are not able to use for library purposes because it must be turned over to the governmental unit that supports them or is simply "passed through" to another service provider.

4. Most libraries have not tapped the many sources available under the heading of "fundraising and financial development."

Because of a concern in the field that fees may prohibit access to information, it is important to note our belief that these data do not support any firm conclusions about whether or not fees are a barrier to library service. The data do, however, provide a context for studying the question. We do know that fees are charged for many services in many libraries and that some of those libraries waive the fee for those unable to pay. We know that most libraries charging for online searching offer some searching free. We also know that user fees are not a major source of income for public libraries.

We have also learned some important lessons that will be useful to future research in this area:

1. It is difficult to gather financial data from libraries serving populations of less than 10,000. The library director who receives the questionnaire is often not a professional either by training or by level of work performed. He or she may have no expertise in financial matters and may rely on the trustees to manage the finances. Also, these libraries have limited hours and may not be open when follow-up calls are made.

2. Library accounting practices vary widely. Many libraries could not report in the categories we presented and no other standard set of categories emerged from our conversations with respondents.

3. State and local laws and regulations regarding how a library may raise revenue vary widely. We did not study this but assumed it because of comments added to the questionnaires and regional variation appearing on table 2.

4. The terminology used to refer to various sources of library income has not been standardized.

We believe the results presented in this report will be extremely valuable as public librarians and policy makers plan for the future by examining non-tax sources of revenue and reviewing current practice in managing financial resources. We look forward to the additional work which we hope will build on the base established here.

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TABLES

TABLE 1 Percentage of respondents offering selected services and materials

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
1. Rental book collection	*	*	*	*	*	*
2. Interlibrary loan						
a. monographs	51.2	77.5	90.0	93.3	95.6	66.6
b. journal articles	59.9	82.5	92.5	93.3	93.3	72.5
3. Video cassettes	51.2	65.0	83.8	83.3	91.1	62.5
4. Films	48.8	70.0	68.8	76.7	77.8	59.0
5. Art (sculpture, etc.)	18.9	33.3	37.5	23.3	37.8	25.7
6. Video player and/or recorder	16.9	22.5	27.5	26.7	22.2	20.2
7. Audio player and/or recorder	34.3	41.7	47.5	33.3	26.7	36.8
8. Slide projector	28.2	39.2	51.3	43.3	20.0	33.4
9. Film projector	47.4	57.5	61.3	56.7	26.7	50.1
10. Microcomputers in library	19.2	31.7	36.3	60.0	57.8	28.6
11. Microcomputers to borrow	1.7	3.3	1.3	0.0	0.0	1.8
12. Typewriter use	39.5	47.5	57.5	70.0	48.9	45.6
13. Microform prints (hard copy)	14.2	42.5	65.0	86.7	84.4	34.9
14. Photocopies	73.5	95.8	100.0	93.3	100.0	84.2
15. Meeting rooms						
a. during library hours	54.9	72.5	82.5	86.7	93.3	66.2
b. outside library hours	50.3	48.3	55.0	36.7	64.4	50.9
16. Reserves for books	76.2	95.0	90.0	93.3	97.8	84.0
17. Reserves for nonbook materials	49.1	72.5	67.5	80.0	73.3	59.3
18. Specialized reference service	19.5	32.5	35.0	40.0	46.7	27.0

*Results are invalid for this item.
Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 2 Percentage of respondents offering selected services and materials by region

	North Atlantic N=184	Great Lakes and Plains N=236	Southeast N=81	West and Southwest N=118	TOTAL N=619
1. Rental book collection	*	*	*	*	*
2. Interlibrary loan					
a. monographs	71.2	58.1	71.6	72.9	66.6
b. journal articles	77.7	66.1	74.1	76.3	72.5
3. Video cassettes	67.4	64.8	56.8	54.2	62.5
4. Films	60.9	58.9	69.1	49.2	59.0
5. Art (sculpture, etc.)	28.3	27.5	29.6	15.3	25.7
6. Video player and/or recorder	18.5	23.7	16.0	18.6	20.2
7. Audio player and/or recorder	35.3	42.4	32.1	31.4	36.8
8. Slide projector	25.0	39.0	44.4	28.0	33.4
9. Film projector	41.8	55.1	59.3	46.6	50.1
10. Microcomputers in library	33.7	27.1	14.8	33.1	28.6
11. Microcomputers to borrow	2.7	0.4	1.2	3.4	1.8
12. Typewriter use	40.2	46.6	38.3	56.8	45.6
13. Microform prints (hard copy)	33.7	29.2	51.9	36.4	34.9
14. Photocopies	87.0	78.0	95.1	84.7	84.2
15. Meeting rooms					
a. during library hours	72.3	56.8	81.5	65.3	66.2
b. outside library hours	53.3	47.0	49.4	55.9	50.9
16. Reserves for books	91.8	76.3	85.2	86.4	84.0
17. Reserves for nonbook materials	64.7	58.1	61.7	51.7	59.3
18. Specialized reference service	22.8	25.8	30.9	33.1	27.0

*Results are invalid for this item.

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 3 Percentage of respondents offering a service that collect money from users

	1 9,999 N=*	10,000 24,999 N=*	25,000 99,999 N=*	100,000 499,999 N=*	500,000+ N=*	TOTAL N=*
1. Rental book collection	**	**	**	**	**	**
2. Interlibrary loan						
a. monographs	19.3	14.0	30.6	46.4	39.5	24.0
b. journal articles	22.3	21.2	47.3	53.6	50.0	30.7
3. Video cassettes	25.0	32.1	38.8	36.0	24.4	29.5
4. Films	20.2	28.6	23.6	26.1	22.9	23.3
5. Art (sculpture, etc.)	6.2	2.5	6.7	0.0	5.9	5.0
6. Video player and/or recorder	41.4	37.0	50.0	37.5	20.0	40.0
7. Audio player and/or recorder	11.9	8.0	13.2	20.0	16.7	11.8
8. Slide projector	21.6	31.9	24.4	30.8	33.3	25.6
9. Film projector	27.6	36.2	28.6	41.2	41.7	31.0
10. Microcomputers in library	16.7	18.4	17.2	16.7	19.2	17.5
11. Microcomputers to borrow	33.3	0.0	100.0	0.0	0.0	27.3
12. Typewriter use	12.5	19.3	26.1	38.1	54.5	21.3
13. Microform prints (hard copy)	61.2	90.2	86.5	96.2	84.2	82.4
14. Photocopies	93.7	93.9	97.5	100.0	97.8	95.0
15. Meeting rooms						
a. during library hours	21.2	19.5	22.7	30.8	26.2	22.2
b. outside library hours	25.4	32.8	47.7	36.4	55.2	33.0
16. Reserves for books	6.9	16.7	33.3	50.0	50.0	18.7
17. Reserves for nonbook materials	4.7	16.1	31.5	41.7	36.4	16.6
18. Specialized reference service	10.4	7.7	17.9	16.7	9.5	11.4

*Percentages are based on number of libraries *offering each service* in each population range, NOT on total number of respondents in each range.

**Results are invalid for this item.

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 4 Percentage of respondents charging for a service that waive charges for those unable to pay

	TOTAL N=*
1. Rental book collection	**
2. Interlibrary loan	
a. monographs	24.2
b. journal articles	21.7
3. Video cassettes	7.9
4. Films	8.2
5. Art (sculpture, etc.)	12.5
6. Video player and/or recorder	2.0
7. Audio player and/or recorder	11.1
8. Slide projector	7.5
9. Film projector	12.5
10. Microcomputers in library	6.5
11. Microcomputers to borrow	0.0
12. Typewriter use	10.0
13. Microform prints (hard copy)	10.1
14. Photocopies	18.0
15. Meeting rooms	
a. during library hours	18.7
b. outside library hours	11.5
16. Reserves for books	11.3
17. Reserves for nonbook materials	6.6
18. Specialized reference service	15.8

*Percentages are based on number of libraries offering each service and charging for it in each population range.
**Results are invalid for this item.

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 5 Online database searching in public libraries

	1 9,999 N=*	10,000 24,999 N=*	25,000 99,999 N=*	100,000 499,999 N=*	500,000+ N=*	TOTAL N=*
1. % that offer	9.0	16.7	27.5	50.0	68.9	19.2
2. % of row 1 that charge	35.5	60.0	68.2	60.0	64.5	56.3
3. % of row 2 that give some free service	81.8	91.7	93.3	88.9	90.0	89.6
4. % of row 2 that waive all charges for persons unable to pay	27.3	8.3	33.3	0.0	15.0	17.9

*N's vary.

TABLE 6 Percentage of respondents collecting various amounts from user charges

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	45.6	35.0	25.0	26.7	33.3	39.1
Less than $100	11.3	3.3	1.3	0.0	2.2	7.3
$100 to $499	17.4	5.0	3.8	6.7	6.7	12.0
$500 to $999	5.8	6.7	1.3	13.3	4.4	5.7
$1,000 to $2,499	9.3	22.5	10.0	3.3	2.2	11.1
$2,500 to $4,999	2.9	11.7	16.3	0.0	0.0	6.0
$5,000 to $9,999	4.7	9.2	15.0	3.3	4.4	6.8
$10,000 to $24,999	2.6	4.2	15.0	30.0	8.9	6.3
$25,000 to $49,999	0.3	1.7	5.0	10.0	8.9	2.3
$50,000 or more	0.0	0.8	7.5	6.7	28.9	3.6

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 7 Percentage of respondents retaining various amounts from user charges

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	54.4	44.2	40.0	43.3	48.9	49.6
Less than $100	10.2	2.5	1.3	0.0	2.2	6.5
$100 to $499	14.5	4.2	2.5	3.3	4.4	9.7
$500 to $999	4.9	7.5	2.5	6.7	2.2	5.0
$1,000 to $2,499	7.3	17.5	6.3	0.0	4.4	8.6
$2,500 to $4,999	2.6	9.2	11.3	3.3	0.0	4.8
$5,000 to $9,999	4.1	8.3	11.3	3.3	2.2	5.7
$10,000 to $24,999	1.7	4.2	13.8	26.7	6.7	5.3
$25,000 to $49,999	0.3	1.7	5.0	6.7	4.4	1.8
$50,000 or more	0.0	0.8	6.3	6.7	24.4	3.1

TABLE 8 Percentage of respondents collecting various amounts for photocopies

	1 9,999 N=237*	10,000 24,999 N=108*	25,000 99,999 N=78*	100,000 499,999 N=28*	500,000+ N=44*	TOTAL N=495*
Less than $100	42.2	32.4	35.9	42.9	40.9	39.0
$100 to $499	23.2	10.2	5.1	3.6	4.5	14.7
$500 to $999	10.5	8.3	0.0	3.6	2.3	7.3
$1,000 to $2,499	13.9	20.4	11.5	0.0	4.5	13.3
$2,500 to $4,999	5.1	11.1	14.1	3.6	4.5	7.9
$5,000 to $9,999	3.4	12.0	20.5	21.4	2.3	8.9
$10,000 to $24,999	1.7	5.6	10.3	17.9	9.1	5.5
$25,000 to $49,999	0.0	0.0	1.3	7.1	11.4	1.6
$50,000 or more	0.0	0.0	1.3	0.0	20.5	2.0

*Percentages based on number of respondents offering photocopying and charging for it.

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 9 Percentage of respondents collecting various amounts for videocassettes

	1 9,999 N=44*	10,000 24,999 N=25*	25,000 99,999 N=26*	100,000 499,999 N=9*	500,000+ N=10*	TOTAL N=114*
Less than $100	50.0	44.0	34.6	44.4	40.0	43.9
$100 to $499	9.1	8.0	0.0	0.0	0.0	5.3
$500 to $999	18.2	4.0	0.0	0.0	0.0	7.9
$1,000 to $2,499	9.1	20.0	11.5	0.0	10.0	11.4
$2,500 to $4,999	6.8	16.0	19.2	11.1	0.0	11.4
$5,000 to $9,999	2.3	4.0	3.8	22.2	0.0	4.4
$10,000 to $24,999	2.3	0.0	19.2	11.1	0.0	6.1
$25,000 to $49,999	2.3	4.0	7.7	11.1	10.0	5.3
$50,000 or more	0.0	0.0	3.8	0.0	40.0	4.4

*Percentages based on number of respondents offering videcassettes and charging for them.

TABLE 10 Percentage of operating expenditures received from user charges

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	52.6	42.5	40.0	40.0	48.9	48.1
Less than 1%	22.1	19.2	16.3	33.3	33.3	22.1
1%-1%	9.0	15.8	13.8	13.3	13.3	11.5
2%-2.99%	4.9	7.5	11.3	6.7	2.2	6.1
3%-4.99%	4.9	9.2	11.3	3.3	2.2	6.3
5%-9.99%	4.1	3.3	6.3	3.3	0.0	3.9
10% or more	2.3	2.5	1.3	0.0	0.0	1.9

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 11 Percentage of respondents collecting money from fines, contracts, and sales

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=44	TOTAL N=619
1. Fines	4.0	74.2	63.8	60.0	64.4	65.8
2. Replacement of lost or damaged manterials	2.4	66.7	63.8	73.3	60.0	52.7
3. Replacement of lost borrower's cards	4.8	30.0	37.5	20.0	26.7	21.8
4. Contracts for general or specific services funded by non-governmental monies	0.9	2.5	3.8	3.3	4.4	1.9
5. Contracts for sales or services where library receives a portion of the revenue:						
a. Photocopiers	1.3	13.3	23.8	23.3	37.8	15.8
b. Other contracts	1.5	5.0	7.5	10.0	20.0	4.7
6. Non-resident borrower's cards	1.5	29.2	28.8	20.0	37.8	25.0
7. Sale of books by library	8.8	54.2	48.8	40.0	46.7	49.3
8. Sale of other materials by library	7.6	11.7	16.3	20.0	20.0	11.0
9. Sale of equipment	2.9	2.5	8.8	10.0	15.6	4.8
10. Sale of real estate	1.2	0.8	0.0	0.0	4.4	1.1
11. Rental of real estate	3.5	7.5	8.8	16.7	13.3	6.3
12. Other	4.9	10.0	6.3	3.3	20.0	7.1
13. Combinations of fines and replacements (1, 2, 3)	7.6	10.0	15.0	16.7	17.8	10.2
14. Any other combinations of categories 1-12	2.6	3.3	8.8	10.0	20.0	5.2
15. Combinations of fines and fees	2.9	9.2	13.8	13.3	8.9	6.5

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 12 Percentage of respondents retaining money from fines contracts and sales

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
1. Fines	55.5	65.0	50.0	43.3	40.0	54.9
2. Replacement of lost or damaged materials	36.3	60.0	51.3	60.0	40.0	44.3
3. Replacement of lost borrower's cards	10.2	25.8	28.8	16.7	17.8	16.5
4. Contracts for general or specific services funded by non-governmental monies	0.6	2.5	2.5	3.3	2.2	1.5
5. Contracts for sales or services where library receives a portion of the revenue:						
a. Photocopiers	9.9	12.5	22.5	23.3	28.9	14.1
b. Other contracts	0.9	5.0	5.0	10.0	20.0	4.0
6. Non-resident borrower's cards	18.9	24.2	23.8	16.7	24.4	20.8
7. Sale of books by library	43.9	47.5	42.5	33.3	40.0	43.6
8. Sale of other materials by library	7.3	11.7	12.5	16.7	17.8	10.0
9. Sale of equipment	2.9	2.5	7.5	10.0	11.1	4.4
10. Sale of real estate	0.9	0.8	0.0	0.0	4.4	1.0
11. Rental of real estate	3.2	7.5	8.8	16.7	8.9	5.8
12. Other	4.1	9.2	5.0	3.3	15.6	6.0
13. Combinations of fines and replacements (1, 2, 3)	6.4	6.7	13.8	16.7	11.1	8.2
14. Any other combinations of categories 1-12	2.3	2.5	7.5	10.0	15.6	4.4
15. Combinations of fines and fees	2.6	6.7	12.5	10.0	6.7	5.3

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 13 Percentage of respondents collecting various amounts from fines, contracts, and sales

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	11.9	1.7	0.0	0.0	0.0	6.9
Less than $100	12.8	3.3	0.0	0.0	0.0	7.8
$100 to $499	27.3	10.8	2.5	10.0	2.2	18.3
$500 to $999	12.2	8.3	3.8	0.0	4.4	9.2
$1,000 to $2,499	14.8	18.3	17.5	3.3	0.0	14.2
$2,500 to $4,999	7.8	14.2	12.5	6.7	0.0	9.0
$5,000 to $9,999	8.1	20.8	22.5	6.7	4.4	12.1
$10,000 to $24,999	3.8	15.8	18.8	26.7	6.7	9.4
$25,000 to $49,999	0.3	5.0	10.0	16.7	2.2	3.4
$50,000 or more	0.9	1.7	12.5	30.0	80.0	9.7

TABLE 14 Percentage of respondents retaining various amounts from fines, contracts, and sales

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	20.3	9.2	10.0	13.3	26.7	17.0
Less than $100	13.7	3.3	0.0	3.3	0.0	8.4
$100 to $499	26.5	13.3	2.5	6.7	2.2	18.1
$500 to $999	11.9	9.2	6.3	0.0	4.4	9.5
$1,000 to $2,499	10.5	18.3	18.8	3.3	2.2	12.1
$2,500 to $4,999	7.3	14.2	16.3	10.0	0.0	9.4
$5,000 to $9,999	5.8	14.2	15.0	6.7	0.0	8.2
$10,000 to $24,999	3.2	14.2	16.3	23.3	8.9	8.4
$25,000 to $49,999	0.3	3.3	7.5	10.0	4.4	2.6
$50,000 or more	0.6	0.8	7.5	23.3	51.1	6.3

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 15 Percentage of operating expenditures received from fines, contracts, and sales

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	19.9	8.5	10.0	10.3	26.7	16.4
Less than 1%	21.4	22.9	26.3	31.0	26.7	23.2
1%-1%	16.7	20.3	20.0	37.9	15.6	18.8
2%-2.99%	14.0	12.7	17.5	6.9	8.9	13.5
3%-4.99%	13.1	20.3	16.3	13.8	20.0	15.5
5%-9.99%	11.0	11.9	10.0	0.0	2.2	9.9
10%-19.99%	2.7	1.7	0.0	0.0	0.0	1.8
20%-29.99%	0.6	1.7	0.0	0.0	0.0	0.7
30%-49.99%	0.0	0.0	0.0	0.0	0.0	0.0
50% or more	0.6	0.0	0.0	0.0	0.0	0.3

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 16 Percentage of respondents receiving some income from each type of fundraising and financial development source

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
1. Library foundations (i.e., monies held separately from library funds)	5.5	10.0	12.5	16.7	11.1	8.2
2. Other foundation trusts	8.4	8.3	18.8	36.7	22.2	12.1
3. Friends groups	25.0	33.3	51.3	60.0	53.3	33.8
4. United Way or other annual community campaign	4.1	8.3	6.3	0.0	2.2	4.8
5. Other groups	18.3	20.0	16.3	30.0	26.7	19.5
6. Individuals	45.3	58.3	55.0	70.0	64.4	51.7
7. Corporations	5.2	12.5	11.3	13.3	31.1	9.7
8. Bequests/estates	16.3	12.5	12.5	23.3	31.1	16.5
9. Interest from investments and trust						
a. on inactive operating funds	16.6	31.7	27.5	23.3	28.9	22.1
b. on inactive capital funds	7.6	14.2	11.3	13.3	11.1	9.9
c. on contributions and gifts	11.0	6.7	17.5	10.0	22.2	11.8
d. on endowment	9.6	15.8	13.8	16.7	28.9	13.1
e. other	10.2	16.7	15.0	26.7	17.8	13.4
10. Combinations of categories 1-9	10.8	4.2	10.0	6.7	6.7	8.9

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 17 Percentage of respondents receiving various amounts from fundraising and financial development sources

	1 9,999 N=344	10,000 24,999 N=120	24,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	19.5	10.8	7.5	6.7	8.9	14.9
Less than $100	3.8	0.0	1.3	0.0	0.0	2.3
$100 to $499	11.9	3.3	1.3	10.0	4.4	8.2
$500 to $999	11.9	5.0	3.8	3.3	4.4	8.6
$1,000 to $2,499	15.7	15.8	12.5	6.7	0.0	13.7
$2,500 to $4,999	10.5	14.2	11.3	6.7	0.0	10.3
$5,000 to $9,999	12.2	11.7	12.5	10.0	6.7	11.6
$10,000 to $24,999	5.8	20.0	20.0	13.3	2.2	10.5
$25,000 to $49,999	3.8	12.5	13.8	3.3	6.7	6.9
$50,000 to $99,999	3.2	4.2	7.5	13.3	8.9	4.8
$100,000 to $499,999	1.7	2.5	7.5	20.0	35.6	6.0
$500,000 or more	0.0	0.0	1.3	6.7	22.2	2.1

TABLE 18 Percentage of respondents receiving various percentages of total operating expenditures from fundraising and financial development sources

	1 9,999 N=344	10,000 24,999 N=120	24,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	18.5	11.0	7.5	6.9	8.9	14.3
Less than 1%	7.7	14.4	28.8	41.4	31.1	15.1
1% to 1.99%	6.5	5.1	7.5	6.9	15.6	7.1
2% to 2.99%	6.8	7.6	15.0	10.3	13.3	8.7
3% to 4.99%	12.2	15.3	8.8	6.9	20.0	12.7
5% to 9.99%	12.5	20.3	15.0	17.2	6.7	14.1
10% to 19.99%	10.4	11.9	5.0	10.3	2.2	9.4
20% to 29.99%	5.1	1.7	5.0	0.0	2.2	3.9
30% to 49.99%	7.1	7.6	3.8	0.0	0.0	5.9
50% or more	13.1	5.1	3.8	0.0	0.0	8.7

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 19 Percentage of respondents with assets in a library foundation

	1 9,999 N=344	10,000 24,999 N=120	25,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	82.3	76.7	70.0	70.0	82.2	79.0
Assets of under $9,99	9.9	4.2	5.0	0.0	6.7	7.4
Assets of $10,000 to 99	5.2	8.3	12.5	13.3	2.2	6.9
Assets of $50,000 to 99	1.5	3.3	1.3	3.3	0.0	1.8
Assets of $100,000 or	1.2	7.5	11.3	13.3	8.9	4.8

TABLE 20 Percentage of respondents with total operating expenditures in various ranges

	1 9,999 N=344	10,000 24,999 N=120	24,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	2.3	1.7	0.0	3.3	0.0	1.8
Less than $4,999	14.5	2.5	0.0	0.0	0.0	8.6
$5,000 to $9,999	11.9	2.5	0.0	3.3	0.0	7.3
$10,000 to $49,999	44.2	12.5	5.0	3.3	0.0	27.8
$50,000 to $99,999	9.3	20.8	5.0	0.0	0.0	9.9
$100,000 to $199,999	9.6	23.3	17.5	3.3	4.4	12.6
$200,000 to $399,999	4.9	20.8	23.8	10.0	4.4	10.7
$400,000 to $699,999	0.9	13.3	21.3	10.0	0.0	6.3
$700,000 to $999,999	1.2	0.0	6.3	13.3	2.2	2.3
$1,000,000 or more	1.2	2.5	21.3	53.3	88.9	12.9

Source: Non-tax Source Revenue for Public Libraries: ALA Survey Report, 1988.

TABLE 21 Total amount retained from all non-tax sources

	1 9,999 N=344	10,000 24,999 N=120	24,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing reported	4.4	0.8	0.0	0.0	2.2	2.7
Less than $100	6.1	1.7	0.0	3.3	0.0	3.9
$100 to $499	13.4	2.5	3.8	6.7	4.4	9.0
$500 to $999	11.6	4.2	0.0	6.7	0.0	7.6
$1,000 to $2,499	15.7	6.7	3.8	3.3	4.4	11.0
$2,500 to $4,999	12.8	16.7	7.5	0.0	0.0	11.3
$5,000 to $9,999	12.2	12.5	11.3	0.0	6.7	11.1
$10,000 to $24,999	12.8	25.0	23.8	16.7	4.4	16.2
$25,000 to $49,999	5.2	16.7	15.0	20.0	4.4	9.4
$50,000 to $99,999	3.8	8.3	20.0	3.3	6.7	6.9
$100,000 to $499,999	2.0	5.0	13.8	33.3	28.9	7.6
$500,000 or more	0.0	0.0	1.3	6.7	37.8	3.2

TABLE 22 Total amount retained from all non-tax sources as percent of total operating expenditures

	1 9,999 N=344	10,000 24,999 N=120	24,000 99,999 N=80	100,000 499,999 N=30	500,000+ N=45	TOTAL N=619
Nothing	4.2	0.8	0.0	3.4	2.2	2.8
Less than 1%	6.8	6.8	11.3	10.3	20.0	8.6
1% to 1.99%	7.7	3.4	3.8	20.7	8.9	7.1
2% to 2.99%	4.5	4.2	10.0	10.3	17.8	6.4
3% to 4.99%	7.7	14.4	16.3	13.8	15.6	11.0
5% to 9.99%	19.0	25.4	25.0	17.2	24.4	21.4
10% to 19.99%	20.8	25.4	18.8	17.2	6.7	20.2
20% to 29.99%	6.3	6.8	6.3	6.9	4.4	6.3
30% to 49.99%	8.9	6.8	5.0	0.0	0.0	6.9
50% or more	14.0	5.9	3.8	0.0	0.0	9.4

Source: Non-tax Sources of Revenue for Public Libraries: ALA Survey Report, 1988.

FIGURES

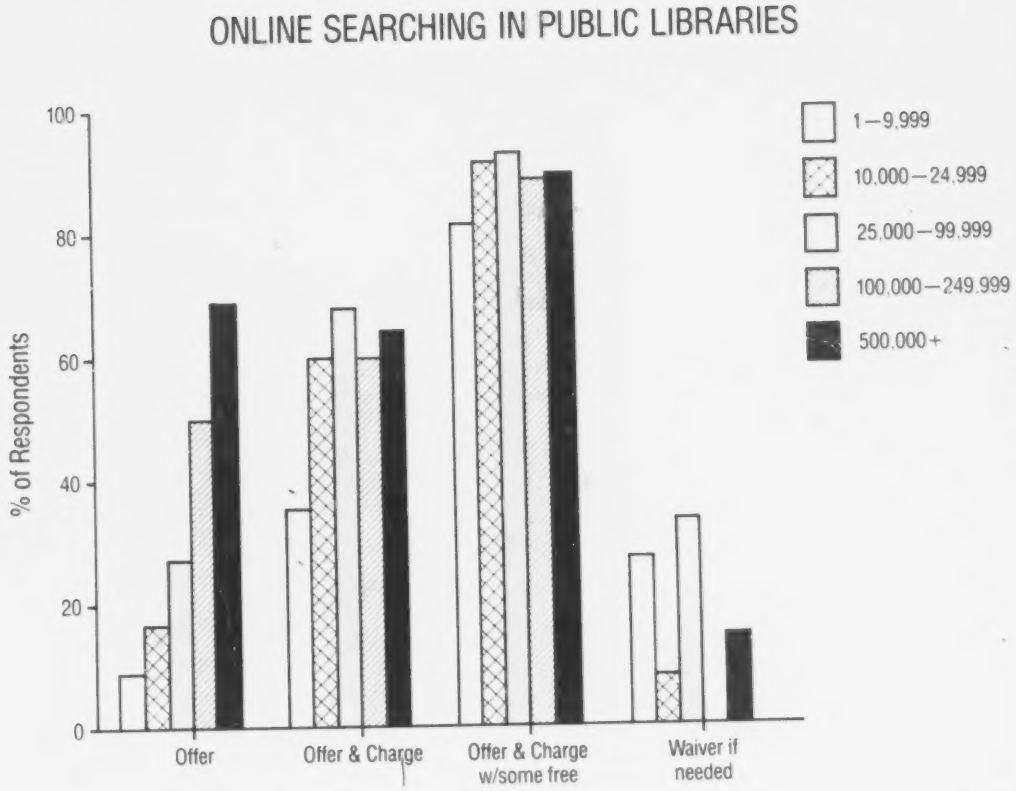

Figure 1

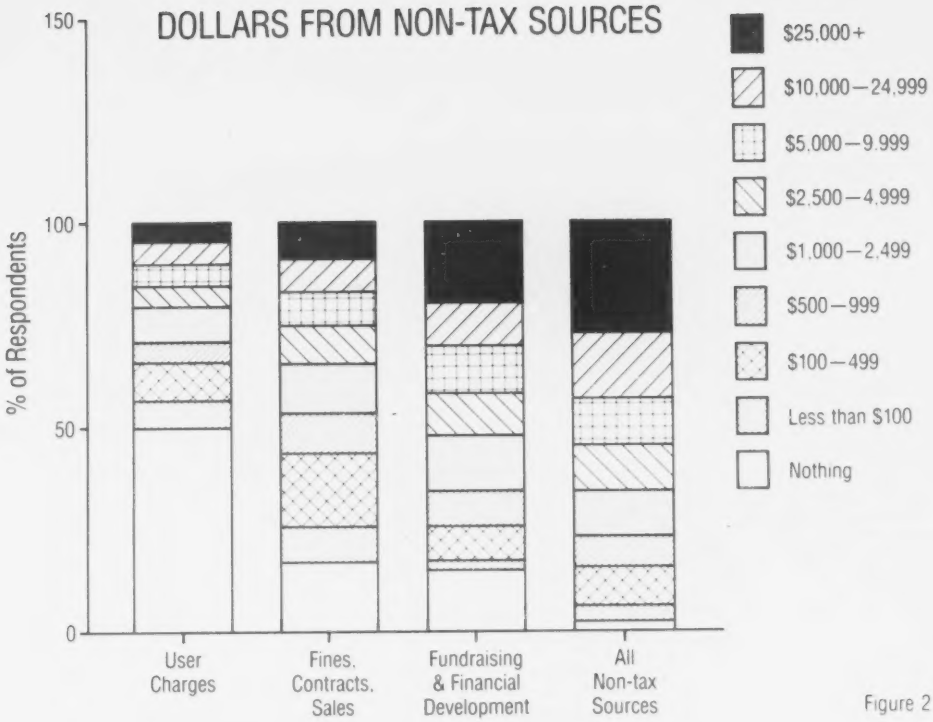

Figure 2

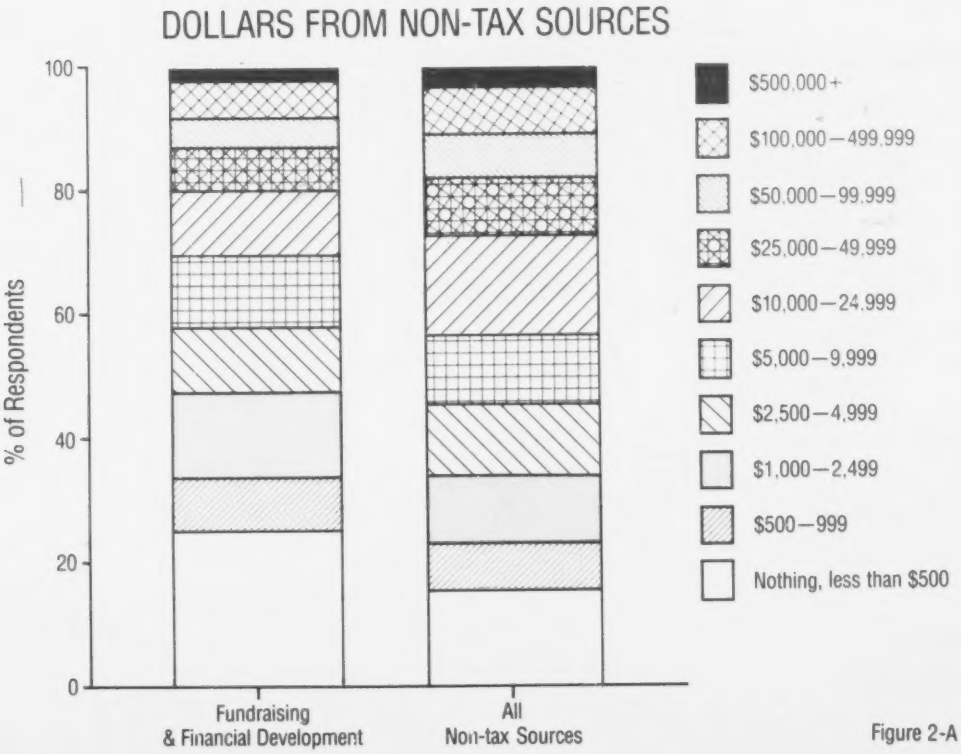

Figure 2-A

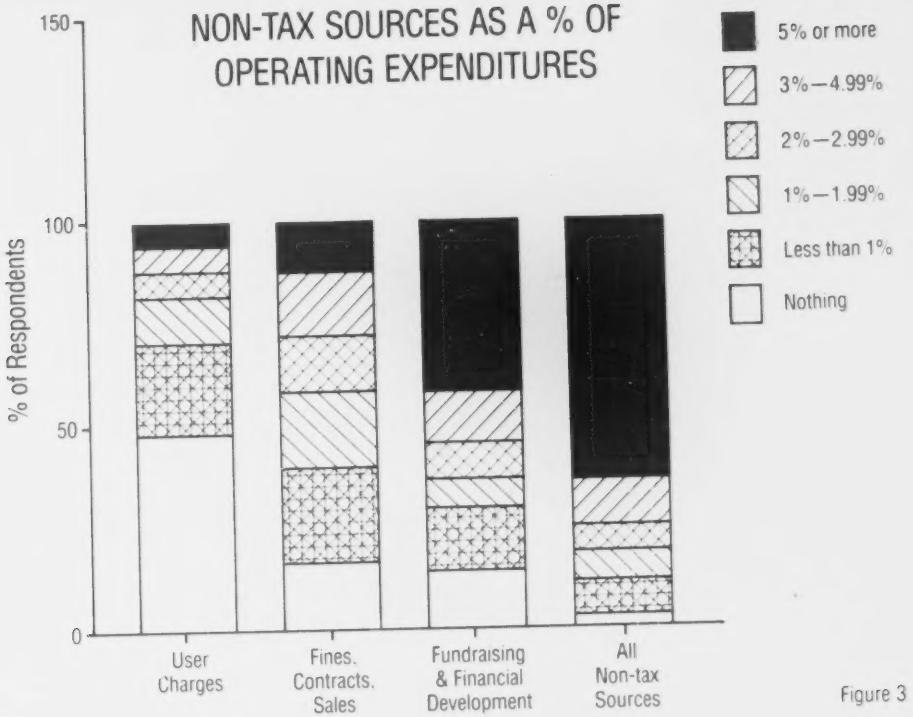

Figure 3

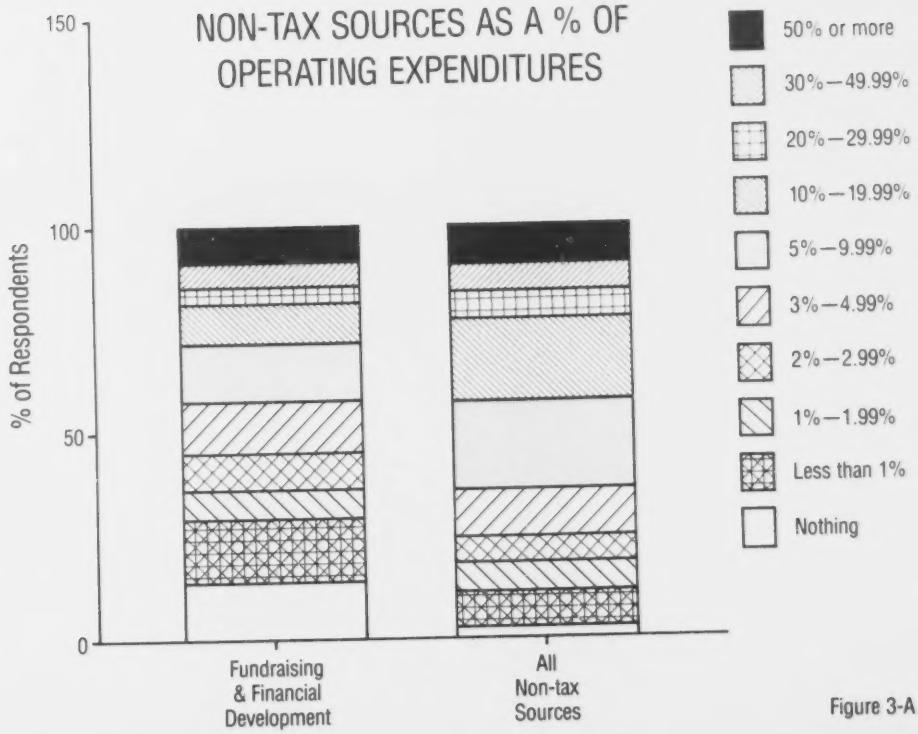

Figure 3-A

NON-TAX SOURCES AS A % OF OPERATING EXPENDITURES

By Size of Population Served

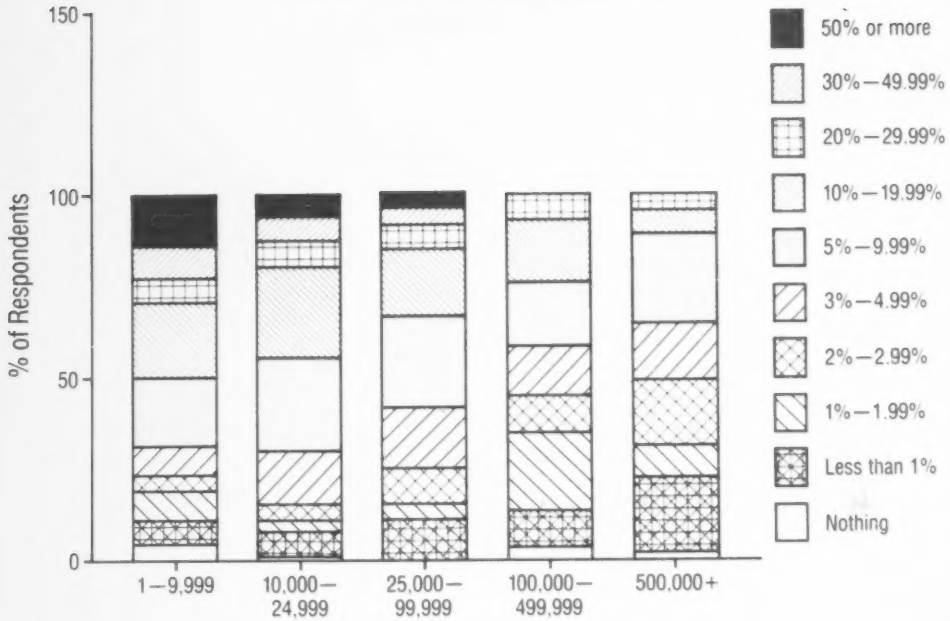

Figure 4

ANNOTATED BIBLIOGRAPHY

by Emily Melton
Headquarters Librarian
American Library Association

This bibliography is designed to lead the user to information on sources non-tax revenue for public libraries. The first section describes materials that deal with all types of revenue, but only if they provide useful information on non-tax sources.

The bibliography was compiled primarily by searching the CD-ROM version of *Library Literature*, which covers the time period from December, 1984, to the present. Subject headings used were "Fees for library service," "Fines, library,""Gifts, contributions, etc.," and "Public relations of libraries." Several other citations, particularly those from the late 1970s, were included because they were in the files of the author of this report and seemed to present important information useful to those interested in the subject. This list does not attempt to be comprehensive; rather, it describes some of the more recent reports and articles on this topic, especially those that contain helpful bibliographies.

I. General Information on Library Revenue Sources

ALA Yearbook of Library and Information Services. Chicago: American Library Association, annual.

Issued annually, this source usually contains one or more articles on library revenue sources. Depending on the year, the articles may be indexed under various headings, including "Funding," "Fundraising and Financial Development," and "Gifts, Bequests, and Endowments." The articles cover only the previous year but can be quite helpful as a general overview if the volumes are consulted in sequence from 1976 to the present.

Breivik, Patricia Senn, and E. Burr Gibson. *Funding Alternatives for Libraries*. Chicago: American Library Association, 1979.

Although now quite dated, this book is still noteworthy for its comprehensive treatment of the various aspects of library funding. An outgrowth of a workshop held at the Pratt Institute Graduate School of Library and Information Science in January, 1976, the book contains articles, case studies, and an excellent annotated bibliography.

Prentice, Ann E. "Financial Support for Libraries: Fund Raising and Fees." In the *ALA Yearbook of Library and Information Services '86*, edited by Roger H. Parent. Chicago: American Library Association, 1986.

A brief, general article which discusses the major non-tax sources of revenue for libraries and predicts that libraries will be forced to take a hard look at alternative revenue sources in the next few years.

Prentice, Ann E. *Financial Planning for Libraries*. Metuchen, New Jersey: Scarecrow Press, 1983.

This book provides a comprehensive overview on general financial matters for libraries. The chapter entitled "Sources of Income" is particularly helpful in defining various sources of income, such as federal funds, revenue-sharing, foundation grants, and fees for service. An extensive bibliography is included. Even though the book has a copyright date of 1983, much of the information is still applicable.

Prentice, Ann E. *Strategies for Survival: Library Financial Management Today*. LJ Special Report #7. New York: R.R. Bowker, 1978.

This short and somewhat outdated report gives a general view of financial problem solving and includes information on such important topics as contracting for service, resource-sharing, and revenue generation within the library. The bibliography is extensive and contains citations which are still relevant.

Sager, Donald J. *Managing the Public Library*. White Plains, New York: Knowledge Industry Publications, 1984.

A general guide to the management of public libraries, this book is useful because of the chapter on "Financial Management." Sager lists the various sources of funding for public libraries and discusses the problems to watch for and the benefits to be gained from each type of revenue. A short bibliography at the end of the chapter as well as a longer bibliography at the end of the book are both helpful.

Wooldridge, Blue. "Revenue Planning: A Vital Tool for Public Libraries." *The Bottom Line* 1, no. 1 (1987): 29-33.

This brief article discusses revenue planning as a tool for library managers to use in the enhancement of their library's revenue base. While listing the various sources of revenue, the article focuses more on development of an overall plan for a sound revenue program.

II. Fees

Two publications listed in this section, the Cummings book and the NCLIS report, are of particular interest because of their excellent bibliographies containing citations to materials produced prior to 1985 on library fees.

Clark, Collin. "Charge for Service, the California Practice." *News Notes of California Libraries* 72, no. 2 (1977): 17-20.

This article details the results of a major state study of fees in public libraries. All public libraries in the state of California were sent questionnaires and asked to report any services for which a direct user charge was made during the fiscal year 1976-77. Charges for such services as photocopies, reserves, book rental, equipment rental, and meeting room use are given.

Cooper, Sandra M., and William O. Drewett III. "Report on the Survey of Fees for Service: Prepared for the Chief Officers of State Library Agencies." Chicago: Association of Specialized and Cooperative Library Agencies, a division of the American Library Association, 1986. Photocopied.

This report details results of a survey by the Association of Specialized and Cooperative Library Agencies in which 42 state library agencies responded to a questionnaire about state and local policies and practices in regard to the charging of fees. The report serves to emphasize the wide disparity among the states on this issue and clearly indicates the need for further in-depth research in

the area. An excellent and detailed review of the report is presented by Jeanne M. Isacco in *The Bottom Line* (1, no. 4 [1987]: pages 39-40).

Cummings, Martin M. *The Economics of Research Libraries*. Washington, D.C.: Council on Library Resources, 1986.

The extensive annotated bibliography on "User Fees and Library Economics" is one of the most useful in the literature and contains citations to materials on fees in public libraries as well as fees in research libraries.

Dubberly, Ronald A. "Managing NOT to Charge Fees." *American Libraries* 17, no. 9 (October 1986): 670-676.

Author Dubberly describes four specific alternatives for dealing with user fees based on his experience at the Seattle Public Library. Those alternatives inlcude increasing revenues at the institutional level, increasing the efficiency of existing resources, limiting service, and restructuring service priorities and reallocating existing resources. A sidebar at the end of the article also provides "a sampling of recent commentary" on the fees issue.

Phelan, Jody. "Fees for Services in Medium-Sized Public Libraries." *Iowa Library Quarterly* 23, no. 1 (Winter 1985): 2-11.

This article contains much of the material from Phelan's doctoral dissertation on fees in public libraries. Phelan surveyed approximately 200 libraries and describes the fee-charging practices of those libraries in this article.

"Fees for Library Service: Current Practice and Future Policy." *Collection Building* 8, no. 1 (1986).

This entire issue of Collection Building focuses on the 1985 report of the National Commission on Libraries and Information Science, "The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries." The text of the report as well as responses from academic and public librarians, library and information science educators, publishers, consultants, and association executives comprise the issue. Extensive bibliographies are helpful.

U.S. National Commission on Librlaries and Information Science. "The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries." Washington, D.C.: The Commission, 1985. Photocopied.

This report was carried out in response to recommendations made by the Commission's Task Force on Library and Information Services to Cultural Minorities. The six sections of the report address broad issues such as the extent to which fees are charged, how many libraries charge fees, and the services for which fees are charged. Section 5 describes several studies on this topic.

Weinland, Janice, and Charles R. McClure. "Economic Considerations for Fee Based Library Services: An Administrative Perspective." *Journal of Library Administration* 8, no. 1 (Spring 1987): 53-68.

This article discusses the economic and political implications of user fees in libraries and shows the results of a study conducted by the authors to develop a model for the application of library fees.

III. Fines, Sales, and Contracts

Burgin, Robert, and Patsy Hansel, eds. *Library Overdues: Analysis, Strategies, and Solutions to the Problem*. New York: The Haworth Press, 1984.

While this collection of papers on the issue of overdues tends to analyze the problem rather than discussing fines as a method of revenue generation, some of the information may be marginally helpful. The annotated bibliography lists a wide range of general and specific sources, including several studies on the impact of overdues.

IV. Fundraising and Financial Development

An excellent source of information on fundraising is the column "Alternate Funding Sources," which appears in each issue of *The Bottom Line* (New York: Neal-Schuman Publishers). Recent topics have included corporate philanthropy, local fundraising, and community foundations. *The Bottom Line* also contains feature-length articles on all aspects of library financial management, including fundraising and financial development. Such recent articles as Irene Moran's "Writing a Winning Grant Proposal" (volume 1, no. 2, p. 13-17) and Edwin Clay's "Fundraising by Strategic Design" (volume 1, no. 3, p. 25-27) are quite useful.

Boss, Richard. *Grant Money and How to Get It* . New York: R.R. Bowker, 1980.

This book gives a concise outline of the procedure for applying for grants and includes a glossary, a list of state foundation directories, a list of foundations with "a stated interest in libraries," and a bibliography of useful resources on proposal-writing.

Bradbury, Dan. "Fundraising and Financial Development." In *The ALA Yearbook of Library and Information Services '87*, edited by Roger H. Parent. Chicago: American Library Association, 1987.

A review of the year's events in library fundraising. Similar articles can be found in previous years' editions of the Yearbook under such headings as "Funding the Public Library," "Funding for Libraries," and "Fundraising." A related topic, "Gifts, Bequests, and Endowments," is covered in the article by that title in the 1987 Yearbook as well as in previous editions.

Burlingame, Dwight F. "Library Fund-Raising in the United States: A Second Look." *Library Administration & Management* 1, no. 3 (June 1987): 108-111.

This article provides further review and analysis of the results of the LAMA/FRFDS Alternative Resource Development Committee's survey of library fundraising reported in the Fischler article cited below. (The actual survey results are reported in the March, 1987, issue on pages 65-66.) Burlingame concludes that more and more libraries are becoming involved in fundraising, and that further study of the patterns and trends is vital to enhance librarians' understanding of the fundraising process.

Campbell, Jerry D. "Fundraising." *Show-Me Libraries* 38 (August 1987): 17-24.

Written by an academic librarian, this article is nevertheless an interesting outline of the techniques which need to be employed in successful fundraising. The author uses an essay approach to define methods for obtaining funding from outside sources.

Corry, Emmett. *Grants for Libraries*. Littleton, Colorado: Libraries Unlimited, 1986.

The subtitle of this book, "A Guide to Public and Private Funding Programs and Proposal Writing Techniques," adequately describes the subjects covered. The chapter on "Public Library Funding" describes various federal funding programs for libraries and lists private foundations which have awarded grants to public libraries. Other helpful chapters give information on lobbying, applying for grants, writing effective grant proposals, and preparing a library development campaign. A short but helpful bibliography is included.

Davis, Maribelle. "Corporate Philanthropy and Libraries: Will the Private Sector Respond to Federal Cutbacks?" *Public Library Quarterly* 6, no. 2 (Summer 1985): 15-26.

This article presents a general overview of the history of corporate philanthropy and its relationship to libraries. It provides interesting information about the types of corporations likely to fund library programs and projects and makes suggestions about the libraries' responsibility for seeking these funds.

DiMattia, Susan S. "Corporations and Library Fundraising." *Library Journal* 109, no. 2 (February 1, 1984): 139-145.

DiMattia discusses corporations as funding sources and gives pointers for developing a strategic plan for the fundraising process.

Fischler, Barbara F. "Library Fund-Raising in the United States: A Preliminary Report." *Library Administration and Management* 1, no. 1 (January 1987): 31-34.

This article discusses the results of a survey conducted by the Alternative Resource Development Committee of the Library Administration and Management Association's Fundraising and Financial Development Section. The survey, which was conducted to determine which libraries were involved in fundraising and how successful they had been, details responses from 1,113 libraries.

Gertzog, Alice. "Gathering Grants: Financial Boon or Bust." *The Bottom Line* charter issue (1986): 17-20.

The author describes the potential problems that can arise in public libraries when grant monies are awarded and offers guidelines for avoiding those problems.

Lee, Sul H., ed. *Library Fund-Raising: Vital Margin for Excellence*. Ann Arbor, Michigan: The Pierian Press, 1984.

Although this book is geared to academic libraries, some of the information may be helpful to public libraries. A brief but somewhat dated bibliography is included.

AMERICAN LIBRARY ASSOCIATION
50 EAST HURON STREET · CHICAGO, ILLINOIS 60611 · (312) 944-6780

May, 1987

Dear Colleague,

How much income do public libraries receive each year from investments? Do many public libraries receive income from bequests? How often do public libraries charge people to use microcomputers or videocassettes? ALA regularly receives questions like these from librarians and others interested in library funding.

In order to provide answers to these and other questions, we are asking you to complete the enclosed questionnaire about your library's sources of non-tax revenue in your most recently completed fiscal year and about the charges your library made to users during that time. Your library is one of a scientifically selected sample receiving this questionnaire and your response is essential to the success of the study. In return, you will receive a report of results.

Individual libraries will NOT be identified in the report and we will NOT release information about any library without permission. The questionnaire has a control number for use in processing returns. You are asked to identify yourself so that we can call you if there are questions about the response.

The H.W. Wilson Foundation is supporting our work through a generous grant. By completing the enclosed questionnaire and returning it in the enclosed business reply envelope you can support it also.

If you have any questions about the study, please contact Dr. Mary Jo Lynch, Director of the ALA Office for Research at 800-545-2433 (in Illinois 800-545-2444).

Thank you very much for your cooperation.

Gratefully yours,

Thomas J. Galvin
Executive Director

P.S. Please return the questionnaire as soon as possible but certainly before Month, Day, 1987.

ALA Survey of Non-tax Sources of Revenue for Public Libraries

PART 1. Charges for Selected Services and Materials.

A. This section seeks information about service and materials in your library for which money is collected from users. Include fees of <u>any</u> type, suggested donations, rental charges, etc. DO NOT include deposits which are eventually returned.

	Offered by library?	Is any money collected from users?	Do you waive charges for those unable to pay?	Do charges vary by characteristics of person (e.g., age)? If yes, enclose schedule.
	CIRCLE ONE	CIRCLE ONE	CIRCLE ONE	CIRCLE ONE
1. Rental book collection	Y N	Y N	Y N	Y N
2. Interlibrary loan				
a. monographs	Y N	Y N	Y N	Y N
b. journal articles	Y N	Y N	Y N	Y N
3. Video cassettes	Y N	Y N	Y N	Y N
4. Films	Y N	Y N	Y N	Y N
5. Art (sculpture, etc.)	Y N	Y N	Y N	Y N
6. Video player and/or recorder	Y N	Y N	Y N	Y N
7. Audio player and/or recorder	Y N	Y N	Y N	Y N
8. Slide projector	Y N	Y N	Y N	Y N
9. Film projector	Y N	Y N	Y N	Y N
10. Microcomputers in library	Y N	Y N	Y N	Y N
11. Microcomputers to borrow	Y N	Y N	Y N	Y N
12. Typewriter use	Y N	Y N	Y N	Y N
13. Microform prints (hard copy)	Y N	Y N	Y N	Y N
14. Photocopies	Y N	Y N	Y N	Y N
15. Meeting rooms				
a. during library hours	Y N	Y N	Y N	Y N
b. outside library hours	Y N	Y N	Y N	Y N
16. Reserves for books	Y N	Y N	Y N	Y N
17. Reserves for nonbook materials	Y N	Y N	Y N	Y N
18. Specialized reference service	Y N	Y N	Y N	Y N

B. Database Searching

1. Do you offer online database searching? Y N If no, skip to C.
2. (if yes to 1) Is there ever any charge to users? Y N If no, skip to C.
3. (if yes to 2) Do some or all users receive any online searching free? Y N If no, skip to 5.
4. (if yes to 3) Is the amount of free searching limited by any of the following? Check all that apply.

___ online charges ___ charges for offline prints ___ type of user (e.g. age, occupation) ___ other (specify)

5. Do you waive all charges for those unable to pay? Y N

C. Please list any additional materials or services for which monies are collected:

D. Summary

1. Total amount of money collected from all of the above sources in your last fiscal year. Do not include money collected by contractors. $_____
2. Of that total what amount was from photocopiers? $_____
3. Of that total what amount was from videocassettes? $_____
4. Of that total what percentage was credited to library account? _____ %

E. Do you have any additional comments on this section of the questionnaire?

PART II. Sources of Revenue Other than User Charges

A. For each category, please indicate the amount of money received during the most recently completed fiscal year and the amount retained by the library. DO NOT include monies received, directly or indirectly, from any governmental units. If no income was received put a "0" in the space.

	Received by library	Retained in library budget
1. Fines	_____	_____
2. Replacement of lost or damaged materials	_____	_____
3. Replacement of lost borrower's cards	_____	_____
4. Contracts for general or specific services funded by non-governmental monies	_____	_____
5. Contracts for sales or services where library receives a portion of the revenue:		
a. Photocopiers	_____	_____
b. Other contracts	_____	_____
6. Non-resident borrower's cards	_____	_____
7. Sale of books by library	_____	_____
8. Sale of other materials by library	_____	_____
9. Sale of equipment	_____	_____
10. Sale of real estate	_____	_____
11. Rental of real estate	_____	_____
12. Other (please specify)	_____	_____

B. For each category, please indicate the amount of money received during the most recently completed fiscal year. If no income was received put a "0" in the space.

1. Library foundations (i.e., monies held separately from library funds) _____
2. Other foundations _____
3. Friends groups _____
4. Other groups _____
5. Individuals _____
6. Corporations _____
7. Bequests/estates _____
8. Interest/investments
   a. on inactive operating funds _____
   b. on inactive capital funds _____
   c. on contributions and gifts _____
   d. on endowment _____
   e. other (please specify below) _____

C. What was the library's total income in the most recently completed fiscal year? $_____

D. What were the library's total operating expenditures in the most recently completed fiscal year? $_____

E. Does your library have a library foundation (i.e., monies or investments held separately from library funds? Y N

F. If yes, please indicate the total assets held in the foundation at the end of the last fiscal year: $_____

G. Do you have any additional comments on this section of the questionnaire?

H. Check here if you want a report of results sent to your library _____

Name and title of respondent: _____

Telephone number: _____

Thank you very much for your response!
Return by Month, Day, Year to:
Office for Research
American Library Association
50 East Huron Street
Chicago, Illinois 60611

States in Four Regions of the U.S.

North Atlantic	Great Lakes & Plains	Southeast	West and Southwest
Connecticut	Illinois	Alabama	Alaska
Delaware	Indiana	Arkansas	Arizona
District of Columbia	Iowa	Florida	California
	Kansas	Georgia	Colorado
Maine	Michigan	Kentucky	Hawaii
Maryland	Minnesota	Louisiana	Idaho
Massachusetts	Missouri	Mississippi	Montana
New Hampshire	Nebraska	North Carolina	Nevada
New Jersey	North Dakota	South Carolina	New Mexico
New York	Ohio	Tennessee	Oklahoma
Pennsylvania	South Dakota	Virginia	Oregon
Rhode Island	Wisconsin	West Virginia	Texas
Vermont			Utah
			Washington
			Wyoming

Source: *Statistics of Public Libraries, 1977-1978* (NCES, 1982)